

FORM PTO-1390 (REV 10-94)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 10873.1472USWO
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) Unknown <b>10/502242</b>
INTERNATIONAL APPLICATION NO. PCT/JP02/12884	INTERNATIONAL FILING DATE December 9, 2002	PRIORITY DATE CLAIMED March 4, 2002	
TITLE OF INVENTION OPTICAL HEAD, OPTICAL RECORDING/REPRODUCING DEVICE USING THE SAME, AND ABERRATION CORRECTING METHOD			
APPLICANT(S) FOR DO/EO/US WADA et al.			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).</li> <li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> A signed oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 34.</li> </ol>			
Items 11. to 16. below concern document(s) or information included:			
<ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li>14. <input type="checkbox"/> A substitute specification.</li> <li>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>16. <input checked="" type="checkbox"/> Other items or information: Application Data Sheet, International Search Report, Copy of International Publication Page, PCT/IB/304, 308, PCT/IPEA/409, Communication Under 37 C.F.R. §1.32(c)(3)</li> </ol>			

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>Unknown 10/502242</b>		INTERNATIONAL APPLICATION NO. PCT/JP02/12884		ATTORNEY'S DOCKET NUMBER 10873.1472USWO	
--	--	---	--	--	--

17. <input checked="" type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS      PTO USE ONLY</b>	
<b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b> Search Report has been prepared by the EPO or JPO..... <b>\$920.00</b>  International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)) ..... <b>\$730.00</b>  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... <b>\$770.00</b>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO..... <b>\$1080.00</b>  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)..... <b>\$100.00</b>					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>					
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	20                      -20 = 0		X \$18.00		
Independent claims	2                                -3 = 0		X \$86.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$290.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$920.00</b>	
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$920.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$0.00	
<b>TOTAL NATIONAL FEE =</b>				<b>\$920.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+ \$40.00	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$960.00</b>	
				<b>Amount to be: refunded</b>	<b>\$0.00</b>
				<b>charged</b>	<b>\$0.00</b>

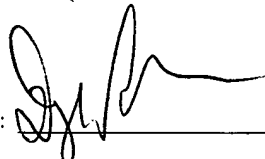
a. ☒ Check(s) in the amount of **\$920 & \$40** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 13-2725.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:  
 Douglas P. Mueller  
 MERCHANT & GOULD  
 P.O. Box 2903  
 Minneapolis, MN 55402-0903

SIGNATURE: 

NAME: Douglas P. Mueller

REGISTRATION NUMBER: 30,300

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

10/502242

Applicant: WADA et al.  
 Docket: 10873.1472USWO  
 Title: OPTICAL HEAD, OPTICAL RECORDING/REPRODUCING DEVICE USING THE SAME,  
 AND ABERRATION CORRECTING METHOD

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EV 371503477 US

Date of Deposit: July 13, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: 

Name: Douglas P. Mueller

Mail Stop PCT  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:

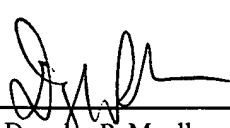
- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 28 pgs; 20 claims; Abstract 1 pg.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 9 sheets of formal drawings
- ☒ A signed Combined Declaration and Power of Attorney
- ☒ Assignment of the invention to MATSUSHITA ELECTRIC INDUSTRIAL CO., LTD., Recordation Form Cover Sheet
- ☒ A check in the amount of \$920.00 to cover the Filing Fee
- ☒ A check for \$40.00 to cover the Assignment Recording Fee.
- ☒ Information Disclosure Statement, Form 1449, 13 references.
- ☒ Application Data Sheet, 4 pages.
- ☒ Other: Preliminary Amendment, PCT-1390, International Search Report, English translation of the Annexes, Copy of International Publication Page, PCT/IB/304, 308, PCT/IPEA/409, Communication Under 37 C.F.R. §1.32(c)(3)
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$920.00
Total Claims								
20	-	20	=	0	x	18.00	=	\$0.00
Independent Claims								
2	-	3	=	0	x	86.00	=	\$0.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$920.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
 P.O. Box 2903, Minneapolis, MN 55402-0903  
 (612) 332-5300

By:   
 Name: Douglas P. Mueller  
 Reg. No.: 30,300  
 Initials: DPM/jh

23552

PATENT TRADEMARK OFFICE

PTO TRANSMITTAL - NEW FILING)